

# **CORPORATE HUMAN RESOURCE INFORMATION SYSTEM (CHRIS)**

## **PROJECT PLAN**

**U.S. Department of Energy**



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# **Corporate Human Resource Information System (CHRIS) Project Plan**

## **Executive Summary**

Human resource information and processing for Department of Energy (DOE) employees are administered by human resource professionals in 23 Servicing Personnel Offices, supported by the mainframe based Payroll/Personnel (PAY/PERS) system. This system was not designed to address the functionality needed in today's business environment, leading many DOE sites and programs to develop site-specific applications that maintain independent information and produce local reports. The PAY/PERS system is approaching the end of its life-cycle and must be replaced by the Year 2000.

In 1994, the DOE conducted an analysis of alternatives to PAY/PERS, which resulted in a recommendation to out source to a Federal cross-service provider both payroll operations and the system which would support both personnel and payroll processing. The recommendation was approved in October 1994. To assist in the evaluation of cross-servicing agencies, several sub-teams gathered requirements specific to each team's functional area. As the human resource sub-team developed its business requirements and attended product demonstrations by the potential providers, the team members realized that none of the demonstrated products would meet the Department's human resource business needs beyond personnel processing.

A Department-wide team of human resource and information professionals participated in a Strategic Information Management (SIM) process. A survey of field sites and program offices conducted during the SIM identified 85 locally developed automated systems which could be eliminated through implementation of a fully integrated human resource information system. An Analysis of Benefits and Costs prepared from data gathered during the SIM predicted a Return-on-Investment of 52%, or savings of \$10 million over 6 years. The savings will be achieved mainly through the elimination of duplicative information systems, avoidance of future maintenance and upgrades to these independent systems (the vast majority of which are not Year 2000 compliant), and saved resources currently devoted to entering and maintaining data in multiple systems.

The functionalities currently provided by PAY/PERS will be achieved through the implementation of the Corporate Human Resource Information System (CHRIS), using PeopleSoft Federal Human Resources Management System (HRMS) and Benefits Administration, a commercial-off-the-shelf (COTS) software product. CHRIS will eliminate the locally developed human resource information systems in several phases, allowing these functions to be standardized across the Department. CHRIS will replace these systems in addition to providing functionality to automate numerous human resource processes heretofore achieved manually. A suitable payroll provider will be selected that is compatible with PeopleSoft.

The management priorities for the CHRIS project are:

- C To have the system implemented and operational at all sites, for the processing of all personnel actions, by March 31, 1998.
- C To implement a Corporate Human Resource Information System that will provide a single source of human resource data to all Departmental elements.
- C To expand the use of system functionality into areas such as training administration, position management, and benefits administration, while taking advantage of web-enabled solutions for expanding access to information contained in the system to DOE managers and employees.

## **I. Introduction**

This Project Plan outlines the work scope, budget, management and implementation of the DOE Corporate Human Resource Information System (CHRIS). The goal of the CHRIS project is to establish a corporate, integrated technology infrastructure to support the Department's human resource (HR) missions. Once fully implemented, CHRIS will replace the PERS side of the Department's PAY/PERS system, which is nearing the end of its life cycle, as well as more than 80 redundant or outdated HR information systems throughout DOE. It will also provide a standardized platform with instant, global access to HR data through the use of web-based technologies. This will enable the HR community to respond more effectively and efficiently to the needs of DOE managers and employees and to provide more timely and accurate information on which decisions may be based. In addition, it will eliminate non-value added tasks currently performed by the HR staff and provide a paperless environment for the conduct of HR business processes.

To ensure that all necessary steps are pursued for a successful implementation, this document follows the Project Plan format recommended in the DOE Software Engineering Methodology Guide.

## **II. Background/History**

### **A. Integrated Payroll/Personnel System Initiative**

As the Department of Energy's (DOE) legacy Payroll/Personnel system was nearing the end of its intended life cycle and was not Year 2000 compliant, in 1994 a decision was made to outsource payroll and personnel processing functions to a Federal cross-service provider. To assist in the evaluation of potential cross-servicing agencies, several working sub-teams were formed to develop business requirements for their functional areas which included human resources, payroll, labor distribution, financials, and program office needs. Based on requirements documents developed by the sub-teams, potential providers were evaluated. As a result of these evaluations, it was determined that none of the potential cross-service providers could meet the business needs of the DOE human resources community.

### **B. Richland Operations Office Pilot**

In March 1995, the Deputy Assistant Secretary for Human Resources approved the Richland Operations Office (RL) as an authorized DOE pilot site for the implementation of PeopleSoft's HRMS software. The pilot project, commonly referred to as RADAR (Rapid Access to Desktop Applications for Resource Management), was initiated using the commercial-off-the-shelf (COTS) version of PeopleSoft's human resource module and Business Objects report generation software. A key element of RL's implementation strategy was reengineering of existing work processes with an emphasis on providing quality HR customer support and consulting services to RL employees.

In September 1995, RL arranged a demonstration of the PeopleSoft HR product at the Pacific Northwest Laboratory and Westinghouse-Hanford Co. for human resource and information management staff from Headquarters. Because of the high level of interest in the human resource community, additional demonstrations were provided by RL at DOE Headquarters and several field sites.

While the DOE human resources community was impressed with the potential of the product, the PeopleSoft commercial version, on which RADAR was based, was not designed to function in a Federal environment and it was apparent that significant behind-the-scenes programming changes would be required to accommodate Federal functionality. In March 1996, PeopleSoft announced plans for a Federal enhancement to their commercial product which would enable Federal users to benefit from system functionality without the requirements for significant customization to the software.

### **C. Technical Evaluation Team**

In November 1995, the Department's Deputy Assistant Secretary for Human Resources and the Chief Information Officer (CIO) tasked a Technical Evaluation Team to: a) benchmark available human resource system products from a technical information management perspective; b) assess technically acceptable systems against human resource requirements established by the PAY/PERS replacement study initiative; and c) determine potential computer hardware and software configuration models (including server and operating system requirements, computer networking and connectivity issues, and potential methods for interfacing with the potential integrated payroll provider).

The Technical Evaluation Team met in December 1995 and set the following goals:

1. Adopt a set of comprehensive functional and technical requirements to be used in a potential procurement action.
2. Conduct a market survey of human resource system software from functional and technical perspectives that are being Federalized.
3. Recommend one or more configuration models for a human resource management information system with estimated acquisition, deployment, implementation and ongoing support costs.
4. Develop a high-level project plan.

### **D. HR Strategic Information Management Process**

In February 1996 the Information Technology Management Reform Act (ITMRA) was signed into law (Clinger-Cohen Act). A key requirement of the Act is that Federal agencies conduct a needs assessment prior to the acquisition or development of a major information management system. To comply with this requirement, DOE conducted the Human Resource (HR) Strategic Information Management (SIM) process.

The SIM approach follows a framework sanctioned by the General Accounting Office (GAO), and published in the GAO document, "Executive Guide - Improving Mission Performance Through Strategic Information Management and Technology" (May 1994). The DOE HR SIM process was designed to identify corporate information needs, data requirements, and reengineering opportunities and resulted in the development of a sound business case for the acquisition of an integrated corporate human resource information system.

System objectives identified through the SIM process include: a) enhance operational efficiencies; b) reduce paper work; c) eliminate redundant information systems; d) eliminate non-value-added work by human resource professionals; and

e) provide the information necessary to make sound human resource decisions.

Another important outcome of the HR SIM is the Analysis of Benefits and Costs which compared the cost of continuing without a corporate human resource management information system (HRMIS) to the cost of acquiring and implementing such a system over a six-year period. A Return on Investment (Internal Rate of Return) of 52%, or a savings of approximately \$10 million over the six years is predicted. This net savings will be achieved largely in the out-years, mainly through the elimination of duplicative information systems, avoidance of future maintenance and upgrades to these independent systems (the vast majority of which are not Year 2000 compliant), and saved resources currently devoted to entering and maintaining data in multiple systems.

The final recommendation of the HR SIM was to pursue implementation of an integrated HR management information system.

## **E. Software Evaluation and Purchase**

A workshop was held to establish software evaluation criteria and to discuss a possible concept of implementation. Following the workshop, an evaluation team was formed to complete a review of three leading commercial off-the-shelf (COTS) software vendors who were in the process of Federalizing their commercial product - PeopleSoft, InPower, and Oracle.

Evaluation team members decided to adopt the following high-level attributes for software evaluation recommended by the Gartner Group, a firm of highly respected information management industry analysts:

**Functionality** - The organization, input, processing, export, and security of the information maintained by the system.

**Technical Architecture** - The system's environment, its user interface, the application architecture, the development tools provided for system customization and enhancement, and the management tools provided for monitoring and management of the application.

**Costs** - Initial costs, including software purchase and installation, customization, "add-ons" required, training, etc., as well as ongoing costs, including maintenance, upgrades, future training, etc.

**Service and Support** - The quality and availability of the vendor's general service and support capability, and the project management capability and technical skills of the vendor's professional support staff.

**Executability** - The vendor's financial viability, management team quality, technical ability of development staff, and track record for product quality and on-time delivery.

**Vendor's Vision** - The company's plans and projections for new technology, additional product functionality, support services, financial estimates and sales and marketing strategies.

Specific criteria and indicators (measures) were developed for each of these attributes, and were incorporated into a questionnaire sent to each of the three vendors under consideration. In addition to responding to the questionnaire, the vendors were asked to provide customer references, from both the public and the private sectors. A standard customer reference interview format was developed to assure consistency in the information requested.

The evaluation team conducted telephone interviews with the vendors' customer references, met with each vendor to review and gain clarification of the vendors' responses to the questionnaire, reviewed all information gathered, applied it against the established criteria, and formulated a recommendation for selection based upon findings and conclusions.

Considering all the attributes, criteria, and evaluation indicators, the stage of Federal development/evolution of the various products, and the results of customer interviews, the evaluation team concluded that the PeopleSoft product would best meet the Department's needs for human resources functionality and information. Identified strengths of the PeopleSoft product include system functionality adapted specifically for the Federal marketplace and built-in best business practices from the vendor's commercial product.

## **F. Product Overview (PeopleSoft)**

PeopleSoft's Federal HRMS and Benefits Administration were selected to serve as the core of the Department's Corporate Human Resource Information System (CHRIS). It addresses the entire Federal enterprise with functionality designed specifically to meet Government requirements. PeopleSoft Federal HRMS includes support for the Request for Personnel Action (SF-52) processes, and such benefits programs as the Thrift Savings Plan (TSP), Federal Employees Group Life Insurance (FGLI), and Federal Employees Health Benefits (FEHB). PeopleSoft Federal Payroll Interface was also purchased to enable interface or integration with any potential cross-service payroll provider.

PeopleSoft supports all the primary areas of human resource management:

**Personnel Actions Request (PAR)** supports the SF-52 and other personnel documents for processing employee appointments, reinstatements, transfers, promotions, separations, retirements, and terminations. Leaves, furloughs and changes in tenure are also supported.

**Position Management and Classification** tracks position data in addition to employee data and also supports management of a position description library, permitting budgeting at any organizational level needed.

**Staffing and Recruiting** functionality enables the creation of vacancy announcements and the evaluation of applicants. With its support for imaging and scanning products, redundant data entry is eliminated; captured data can be submitted through the workflow oriented SF-52 document process.

**Salary Administration** maintains up-to-date compensation plans and processes locality adjustments, pay adjustments, allowances, differentials, and premium pay.

**Performance Management** handles the awards budgeting process and tracking monetary awards, non-monetary awards, special (time-off) awards, and quality step increases.

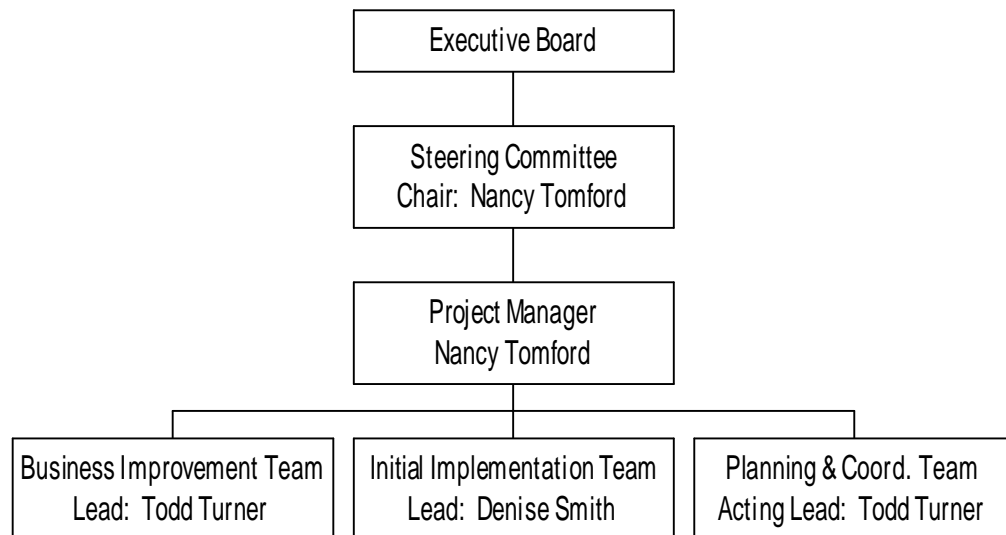
**Training Administration** supports a workflow/paperless oriented training environment; the Request, Authorization, Agreement, and Certification of Training (SF-182) process; and individual development plans (IDPs). Training programs and courses may be associated with positions. Facilities, instructors, equipment, materials, and costs can be tracked; enrollment letters, confirmation letters, and course completion certificates can be produced.

### III. Project Organization

In October 1996, following purchase of PeopleSoft Federal Human Resources Management System, Benefits Administration and Payroll Interface, a team of human resources and information technology professionals representing headquarters and field organizations convened in Denver, Colorado, to formulate a strategy for implementation of the new corporate system. At this meeting, representatives agreed to adopt a matrix organization approach to manage the DOE PeopleSoft project which was named the **Corporate Human Resource Information System (CHRIS)**. Within the recommended structure, the majority of matrixed resources are expected to be part-time in nature and will be donated by field and program offices to ensure that system decisions represent the cross-Departmental needs of stakeholders, customers, and management. With the exception of a small core team that will work directly on the corporate effort, participation in CHRIS implementation will be either for brief intensive periods to work specific implementation issues or part-time over an extended period.

The following matrix organization has been adopted for implementation:

## CHRIS Project Structure



#### A. CHRIS Executive Board

The Executive Board will provide general oversight to CHRIS implementation by serving as champions for the effort, helping to leverage resources, resolving issues brought to its attention by the Steering Committee, and gaining commitment by field sites and program offices to the success of this stakeholder-driven initiative. The Executive Board will be briefed on the status of CHRIS implementation as updates are forwarded to Heads of Departmental Elements and other key officials. The Board will meet face-to-face at least annually, but more often as

necessary to resolve issues raised by the Steering Committee. Board members will represent the DOE corporate business interests when working CHRIS issues.

## **1. Roles and Responsibilities**

The mission and purpose of the Executive Board include:

- C Ensuring that CHRIS meets the business management needs of DOE and its stakeholders.
- C Promoting consensus among all DOE leadership on corporate reengineering efforts.
- C Providing guidance and direction to corporate human resource benchmarking efforts.
- C Resolving issues referred by the Steering Committee that require top level attention.
- C Providing interface with other Strategic Alignment Initiative (SAI) Champions or Teams addressing human resource issues; e.g., SAI-44.
- C Maintaining a complex-wide focus on necessary reengineering and business improvements to ensure the Corporate Human Resource Information System meets DOE's business management needs.
- C Maintaining open communications to ensure continuing support at the highest levels of management.
- C Ensuring the commitment of adequate resources to support the implementation and future functionality of CHRIS.

## **2. Membership**

The Deputy Assistant Secretary for Human Resources and the Chief Information Officer (CIO) will co-chair the Executive Board. The Board will consist of membership from both Field and Headquarters organizations to ensure a Departmental perspective in overseeing system implementation. Membership should be at the Operations Office Manager/Deputy Manager or Headquarters Deputy Assistant Secretary level. The CHRIS Project Manager will serve as the Executive Secretary to the Board and will provide coordination and logistics support.

## **B. Steering Committee**

The Steering Committee will serve as the decision-making body for development, implementation, and operation of CHRIS, to include providing coordination,

oversight, and direction to the matrix support structure. It will team with all Departmental Elements to manage and integrate PeopleSoft's Federal HRMS and Benefits Administration as a corporate DOE human resource information system.

## **1. Roles and Responsibilities**

- C Maintain oversight, direction and coordination among all CHRIS implementation and operation activities.
- C Develop and manage a customization control process to restrict software changes and ensure maximum advantages from the commercial-off-the-shelf product.
- C Identify resource requirements for the CHRIS implementation effort and ensure the availability and commitment of resources to assist with the project.
- C Establish liaison with other DOE initiatives looking at Departmental corporate information systems (i.e., financial system replacement).
- C Maintain liaison with other Government agencies that are also using the PeopleSoft software.
- C Foster and promote consensus in DOE for CHRIS; review and approve marketing plans.
- C Coordinate implementation efforts with other DOE information systems and information technology initiatives.
- C Establish long-term strategies for future system functionality.

## **2. Membership**

The Project Manager for CHRIS will chair the Steering Committee and will be a non-voting member. Membership on the Steering Committee will be solicited on a volunteer basis primarily from human resource and information management functional areas with representatives from field and program offices throughout the Department.

Members of this team must have a high level of commitment from their management, must be active participants, and must be prepared to serve on the committee until at least June 1998. A process for rotation of members will be prepared by the Committee to ensure continuity of the project beyond the initial implementation effort.

### **C. Project Manager**

The Project Manager is responsible for the planning, coordination, and execution of the entire CHRIS project. As Co-Champions for the project, the Department's Chief Information Officer and the Deputy Assistant Secretary for Human Resources will jointly appoint the Project Manager. The Project Manager will serve as Secretary to the Executive Board and as a non-voting Chair of the Steering Committee.

#### Roles and responsibilities:

- C Provide overall coordination and direction of the CHRIS project.
- C Establish and direct teams responsible for CHRIS implementation.
- C Act as liaison and provide logistics support to the Executive Board.
- C Establish scope, priorities, and secure funding for all CHRIS activities.
- C Serve as primary representative on CHRIS issues at all levels throughout the Department.
- C Review and approve project plans, budgets, and schedules.
- C Foster and obtain consensus for CHRIS across the Department.
- C Ensure availability of resources and necessary skills to support project objectives and milestones.

### **D. Initial Implementation Team (IIT)**

The IIT will focus its efforts on initial functional and technical development of the system to assure that all personnel actions are processed in CHRIS by the spring of 1998. The team will provide support to all servicing personnel offices to assist in developing local site plans and establishing communications links from sites to the central database server. Assistance will also be provided for cleaning up personnel data errors and for mapping data into CHRIS from the existing PAY/PERS system.

#### **1. Roles and Responsibilities**

The IIT is chartered to implement the system functionality to support the processing of personnel actions in CHRIS at servicing personnel offices. The success measure for this team is that by March 31, 1998, servicing personnel offices will be processing all personnel actions using PeopleSoft software.

The team is responsible for identifying, researching and recommending

solutions to issues impacting the implementation effort. The team will work with the responsible DOE organizations to ensure that the telecommunications infrastructure and central database server platform are available to support CHRIS implementation. The team will also support local sites by developing an implementation schedule, providing guidance for site implementation plans, identifying training requirements and developing expertise to assist with site implementation.

The goals of the team are to:

- C Define corporate data standards.
- C Develop technical infrastructure requirements.
- C Perform system design and development.
- C Provide guidance for the development of site implementation plans.
- C Develop an implementation schedule.
- C Assign tasks to ensure team success.
- C Identify training requirements.
- C Develop a core group of experts to assist in site implementation.

## **2. Membership**

In addition to the team leader, the membership includes both human resource and information management representatives from field sites and program offices. Team members commit 10-25% of their time to the project and participate in ad hoc working groups to complete specific projects. Commitment to the overall project is a priority. Quarterly team meetings are held jointly with the other CHRIS teams.

## **E. Business Improvement Team (BIT)**

The BIT was formed for the purpose of keeping reengineering and business improvement efforts at the forefront of the overall strategy for implementation of CHRIS. The team's primary purpose will be to ensure an appropriate balance between business needs and system requirements. The BIT will also assure that business improvement opportunities identified in the SIM process are addressed from a corporate perspective in the execution of further CHRIS functionality. Major issues affecting CHRIS implementation to be addressed by this team include identification and prioritization of added functionalities and a strategy for their implementation. To support this effort, the team will develop and implement a corporate reengineering strategy for the Department's HR function and a

marketing strategy for the long-term support, maintenance and use of the PeopleSoft software. The team will also develop and execute a long-term training strategy to support roll-out of additional PeopleSoft functionality to system users.

## **1. Roles and Responsibilities**

As immediate action is taken by the IIT to bring up Phase I of CHRIS, a parallel effort by the BIT is needed to plan for expanded capabilities. This parallel effort shall include:

- C Planning the implementation of additional features and functionality of PeopleSoft's Federal HRMS and Benefits Administration.
- C Providing input on the development of any necessary interfaces between CHRIS and the existing PAY/PERS system or a potential cross-service provider system.
- C Investigating means of providing access to historical data in the current PAY/PERS system.
- C Ensuring CHRIS conforms to the Department's Information Architecture standards.
- C Establishing the feasibility of future migration to totally "paperless" personnel processes.
- C Identifying short-term business improvement needs required to effectively process personnel actions in PeopleSoft's Federal HRMS.
- C Implementing functional changes required to support personnel action processing.
- C Defining functional requirements of the corporate information system while ensuring that system modifications or changes are adopted in a corporate fashion.
- C Assisting DOE organizations (servicing personnel offices) in making necessary modifications to local systems/processes in preparation for CHRIS.
- C Developing a long-range strategy for reengineering DOE human resource programs and systems.
- C Identifying and prioritizing human resource programs and systems for reengineering based on current functional needs and future plans for CHRIS.

- C Studying various options for implementing corporate best practices into HR systems and programs.
- C Facilitating the buy-in of Departmental leadership and HR managers into the corporate reengineering effort.

## **2. Membership**

In addition to the team leader, the membership includes both human resource and information management representatives from field sites and program offices. Team members commit 10-25% of their time to the project and participate in ad hoc working groups to complete specific projects. Commitment to the overall project is a priority. Quarterly team meetings are held jointly with the other CHRIS teams.

## **F. Planning and Coordination Team (PACT)**

The PACT will serve as the “business office” for the project management staff in support of the overall implementation of CHRIS. In this role, the PACT will ensure that project goals and timelines are established and adhered to and that the matrix approach to CHRIS implementation is appropriately managed. The mission of this team is to coordinate, monitor, and track the implementation of CHRIS to ensure the system is implemented on-time, within budget, and meets the Department’s requirements.

The PACT will aid the chairs of the IIT and BIT, as well as the CHRIS Project Manager, in the effective utilization of available resources and skills and will ensure proper coordination between all CHRIS project teams. The team will also be responsible for CHRIS communications and funding strategies.

### **1. Roles and Responsibilities**

The PACT is responsible for formulating and tracking the project plan, the project schedule, and the budget, including project resource planning. The team will ensure that sufficient project documentation is produced and managed, and will provide prompt, accurate and reliable management reports. The team will also conduct an ongoing cost/benefits analysis and will monitor progress on the projected Return on Investment.

Specific team responsibilities include:

- C Project plan formulation and updates.
- C Project schedule formulation and maintenance.
- C Budget formulation and tracking.

- C Project documentation management.
- C Project cost/benefit tracking.
- C Project issues tracking.
- C Project resource planning.
- C Management reporting.

## **2. Membership**

In addition to the team leader, the membership includes both human resource and information management representatives from field sites and program offices. Team members commit 10-25% of their time to the project and participate in ad hoc working groups to complete specific projects. Commitment to the overall project is a priority. Quarterly team meetings are held jointly with the other CHRIS teams.

## IV. Work Scope

Implementation of CHRIS will be accomplished in several phases.

### A. Phase I Objectives

The objectives of Phase I are to:

1. Provide the Department with an up-to-date, automated tool for real time processing of personnel actions;
2. Make CHRIS the system of record through implementation of an integrated payroll system\*; and
3. Build a foundation for implementing future functionality and business process improvements.

**\*Note: Objective #2 above poses the greatest risk to the timely completion of Phase I and the implementation of Phase II. Until a payroll solution that meets the Department's needs has been identified and implemented, Phases II and beyond cannot be implemented and the potential ROI identified by the SIM process cannot be realized.**

### B. Phase I Milestones

Completion of the tasks below constitute the major milestones for Phase I:

- C Install PeopleSoft at the Federal Energy Technology Center (FETC) at Morgantown
- C Begin personnel data clean-up by DOE sites
- C Load corporate tables on the corporate database server at Morgantown
- C Initiate data clean-up 'jump start' plan
- C Begin PeopleSoft live operation at Morgantown. Load personnel data for initial prototype sites
- C Ensure site-by-site connectivity to the CHRIS central server in Morgantown
- C Establish and execute a phased implementation schedule to convert all DOE servicing personnel offices to the new corporate system
- C Once "live," begin dual processing of personnel actions at all DOE sites in both CHRIS and PAY/PERS; establish audit and reconciliation process to resolve data discrepancies
- C Map remaining data from PAY/PERS to CHRIS
- C Upgrade PeopleSoft software to version 7.0; train all users in version 7.0
- C Implement Benefits Administration and train end users
- C Develop interface from CHRIS to the PAY side of PAY/PERS
- C Conduct parallel testing of interface to ensure CHRIS's readiness to become the authoritative system of record and ability of PAY to process payroll through the interface
- C Cease operations of PERS portion of PAY/PERS and make CHRIS the

official system of record

### **C. Phase II Objectives**

Objectives for Phase II are:

1. Provide online access to personnel data for query and reporting purposes;
2. Develop web-based and on-line analytical processing tools to lay foundation for “paperless” processes in the Department.
3. Re-engineer the position and classification management processes within DOE.
4. Develop and pilot the training administration capabilities of the PeopleSoft software in DOE.
5. Identify, prioritize and implement business process reengineering efforts within the Department while addressing future business needs and plans for the expanded functionality of CHRIS.
6. Coordinate CHRIS efforts to integrate with the identified payroll solution.
7. Continue outreach efforts with the Department to ensure awareness and buy-in from the DOE community.
8. Develop web-based interface to enable employees and managers to access data from their desktop.

### **D. Phase II Milestones**

- C Explore business process reengineering opportunities and identify and prioritize Departmental needs
- C Develop recommendations for the implementation of future CHRIS functionality
- C Develop implementation plan for Training Administration, Position Management and new business processes
- C Design and deliver a training program to support roll-out of HRMS product to system users
- C Develop a long-term training strategy to support expanded system functionality and new users
- C Identify and implement web-based interface with CHRIS so employees and managers will have real-time access to data

## **E. Phase III Objectives**

Objectives for Phase III are:

1. Provide for increases in system demand and provide access to information in the system to all DOE employees and managers
2. Continue to investigate and prioritize the roll out of additional system functionalities; coordinate corporate reengineering efforts to support expanded system functionality
3. Identify and plan for the elimination of those external systems which CHRIS can replace, ensuring their needs will be met by CHRIS

## **F. Phase III Milestones**

- C Identify candidate business processes for reengineering and incorporation into CHRIS
- C Provide all DOE employees and managers with desktop on-line access to information contained in the corporate system
- C Continue efforts to identify information and processing systems whose requirements can be handled by CHRIS; work with system owners to shut down
- C Phase out as many duplicative HR information systems as feasible and plan for replacement by CHRIS

## **V. Schedule, Work Breakdown Structure, and Cost Estimate**

Team schedules, work breakdown structure, and cost estimates will be maintained through a web-enabled Planning and Support function on the CHRIS home page. Individual team taskers will be initiated by CHRIS project managers through the scheduler which will, in turn, notify team members of tasks, delivery dates, and potential costs. Team members will update tasks directly into the scheduler. Reports on human and budget resources can be generated from the planning support page. A master schedule and Gantt chart of team activities will automatically be updated through the tasker.

## **VI. Project Tracking and Control**

### **A. Master Project Schedule**

The CHRIS Master Schedule has been developed in Microsoft Project. The Master Schedule includes all tasks identified in the Work Breakdown Structure (WBS) that must be completed for Phase I and Phase II implementation, at the corporate level, including establishing network connectivity and conducting network tests for all sites. The Planning and Coordination Team will maintain and update the Master Schedule and will notify the Project Manager of any slippages as soon as they are detected. Individuals responsible for specific tasks must report status, time worked and progress on their tasks, on a regular basis, to the PACT, utilizing the project scheduler located on the CHRIS Planning and Support Page of the CHRIS home page.

Each site will be responsible for identifying, planning and scheduling all activities required for local implementation. A checklist provided by the CHRIS Project Team must be completed by each site, indicating the site's readiness for full operational implementation of CHRIS. Individual sites are encouraged, but not required, to develop implementation plans and project schedules. At both the corporate and the local levels, self-assessment will be used to determine task completion and accomplishments.

#### **1. Status Reporting**

Project status and accomplishments will be reported to the PACT by other CHRIS Team Leaders and compiled and forwarded on to the Project Manager on at least a monthly basis. Status of activities and specific team assignments can be checked by project management at any time through the CHRIS Planning and Support Page. Accomplishments will be reported via the CHRIS Planning and Support Page, E-mail, tele/video conferences, or meetings. Reports will also be submitted to HR Directors and the entire CHRIS matrix structure as necessary. Project costs, savings, and return on investment (ROI) will also be tracked and reported on a periodic basis.

#### **2. Project Milestones**

Milestones will be reviewed by the CHRIS Steering Committee during its meetings. Decisions will be made as needed to assure that the project remains on schedule. Formal evaluations may be conducted at various times, as directed by the Steering Committee.

#### **3. Remedies for Project Schedule Slippages**

Some slippage in individual site schedules can be absorbed without compromising the overall project schedule, but if many sites fall behind, major milestone dates could be affected. PACT will monitor the progress of

corporate activities and of all sites and will inform the Project Manager of any slippages. The corporate Project Team and/or Initial Implementation Team will assist individual sites, if necessary, to ensure that the Project's goal of processing all personnel actions in PeopleSoft by March 31, 1998, is met.

## **B. Risk Management**

### **1. Identification of Potential Risks**

The following have been identified as potential risks to the success of this project:

- C The timely selection and execution of an integrated payroll solution;
- C The identification and resolution of numerous information technology (IT) issues to prevent future system problems and to begin institutionalization of complex-wide hardware and communication protocols and standards;
- C The identification of long-term funding sources to support the existing CHRIS project; and
- C The continued commitment of dedicated and part-time resources to the CHRIS matrixed organizational structure.

## **C. Project Funding**

### **1. Budget Estimates**

Budget estimates are being developed for contractor support, consulting services, software licenses and maintenance fees, help desk implementation, equipment purchases and/or upgrades to support the central database or regional servers, training development and delivery, network upgrades and support, and travel expenses for corporate staff. Five-year financial plans, including both taxpayer and actual budget costs, will be developed and maintained by the PACT.

### **2. Funding Sources and Strategies**

FY-97 work scope will be funded through financial contributions and "donated" services from various DOE organizations. Servicing Personnel Offices will fund local data cleanup efforts and any hardware upgrades necessary for connectivity to the FETC server.

A potential source of funds for CHRIS is a proposed budget request for corporate investments supported by the Office of Management and Budget (OMB). DOE's Chief Information Officer has submitted a request for funds for FY 1998 to support several corporate projects. The amount requested for

CHRIS is two million dollars.

## **D. Project Staffing**

Approximately six Federal employees are assigned full-time to the CHRIS implementation project. Matrixed Federal staff and two contractors serving on CHRIS teams and committees are requested to allocate 10-25% of their time to the project, with appropriate management approval. Time requirements will not be on a regular, weekly basis, but will depend on team meeting schedules and individual assignments.

### **1. Required Skills**

In addition to the corporate staff, team leaders, and team members, some specific skills will be needed during CHRIS implementation and/or on a continuing basis. These include Local Area Network (LAN) and Wide Area Network (WAN) support, database administration (DBA), system administration, security administration, functional area experts, trainers and user support staff, re-engineering specialists and systems analysts/integrators. In addition, PeopleSoft consultants will be used on a limited basis on issues specific to the product (i.e., upgrade management).

## **E. Communications and Outreach**

### **1. The DOE Community**

The Rocky Flats Field Office has established a CHRIS home page at <http://www.rfets.gov> that includes documents and other information related to CHRIS. The home page will also be used to report project progress. CHAT rooms are established for each of the project teams. Participants in CHRIS activities and team members communicate by E-mail and telephone conferences between face-to-face meetings. CHRIS teams and committees generally plan quarterly in-person meetings, at alternating DOE sites.

Mechanisms will be established to solicit customer needs and feedback and to communicate with Departmental organizations on the plans for and progress of the CHRIS project. Partnerships will be established with other corporate systems efforts and with the Department's IM community. The CHRIS Project Team will also maintain liaison with the Payroll/Personnel Integrated Payroll Initiative, and will participate fully in the development of an interface to an identified payroll solution.

### **2. PeopleSoft Federal Users Network**

PeopleSoft sponsors a Federal Users Network separate and distinct from the Users Group for PeopleSoft's commercial products. DOE will participate fully in the Federal Users Network, using it as a forum for Government

agencies to identify and concur on modifications and/or expanded functionality to be requested from PeopleSoft in future releases

## **VII. Technical Implementation**

The formation of a CHRIS Systems Team or IT Advisory Group is proposed to handle all issues related to technical implementation. The Systems Team will be composed of computer network and information management experts who are familiar with DOE's business systems and PeopleSoft's application modules. Responsibilities of the Team will be to provide guidance and assistance to the core corporate staff on:

1. Development of a CHRIS Systems Manual
2. Timely resolution of network and application problems
3. Server and application maintenance and upgrades
4. IT related recommendations to the Steering Committee
5. Data security and disaster recovery
6. Capacity planning and system testing
7. Ensuring compliance with DOE architecture standards

The CHRIS Systems Manual will contain procedures and descriptions that address:

1. Network configuration and hardware requirements
2. System and data security
3. Disaster recovery
4. Hotline maintenance
5. Capacity planning
6. Upgrades
7. Initial data loads
8. Operations
9. Training

A detailed outline of the proposed contents for the Systems Manual is located in Appendix A.

Until the Systems Manual is developed, the network structure and operation shall be in accordance with the paragraphs below.

### **A. Initial Configuration**

During the initial implementation phase, the corporate CHRIS database will reside on a dedicated server located at the Federal Energy Technology Center (FETC) in Morgantown, West Virginia. The CHRIS system will run on a Compaq Proliant 5000 with four Pentium Pro 200 MHz CPUs. It has 640 MB of RAM and four 4.3GB hot-pluggable hard drives installed. It also has a Compaq Smart2/P Array Controller, which allows it to run firmware based on RAID (Level 5) on the installed drives giving the system a storage capacity of 13.2GB. The system will

operate in the Microsoft Windows NT 3.51 environment. The system is planned for upgrade in January 1998 to a DecAlpha 4100 Unix platform with Oracle 7.3.3.3 as the database management system.

FETC is providing technical support for the corporate database and the server portion of the CHRIS application. CHRIS sites will communicate with the server at FETC via the DOE Business Network (DOEBN), utilizing frame relay transmission protocol. Network upgrades and support services to support the CHRIS implementation must be funded by the CHRIS project. Connectivity for sites not using this network must be provided.

The current version of PeopleSoft's Federal HRMS software is 5.2. Initially, all servicing personnel sites will begin processing with Version 5.2. Version 7.0 is scheduled for release in January, 1998. Shortly after its release, Version 7.0 will be installed on the new server. The PeopleSoft upgrade will be transparent to servicing personnel sites with respect to connectivity and software downloads. However, additional user training will be required.

## **B. Data Correction and Import into PeopleSoft**

Because PeopleSoft's data edits are much more stringent than those in the current PAY/PERS system, data correction will be a required activity for all DOE elements prior to conversion of data into CHRIS. In order to facilitate this process, several sites will install standalone versions of PeopleSoft for the purpose of passing PAY/PERS data through PeopleSoft's import manager to obtain edit reports for their site and for other sites. The data must then be corrected in PAY/PERS and run through the PeopleSoft edits again, until all errors have been corrected. This must be accomplished before the site's data can be imported into the corporate database and the site can begin using PeopleSoft. There may also be data issues between PeopleSoft and the proposed integrated personnel payroll system. These will be addressed during data conversion discussions with the systems team, PAY/PERS support staff and the CHRIS Project Team.

## **C. Local Site Preparations**

Each site will self-certify readiness for CHRIS implementation by submitting a completed checklist, which will be provided by the Project Team. Sites are also encouraged to prepare a project plan and project schedule, using Microsoft Project, with target dates and assigned responsibility for each task, that addresses all activities required for the site to go "live" with PeopleSoft. A strawperson project plan and schedule will be provided to assist the sites in identifying all required tasks.

Each site will be responsible for providing CHRIS users with appropriate hardware and software, and for establishing and testing the site's connectivity to FETC at Morgantown, utilizing the DOEBN network. Site security and firewall issues must also be addressed and resolved.

## **D. Networking Services**

The CHRIS Project Team plans to use DOEBN for local site access to the corporate database server. CHRIS will share the network with other DOE applications, both program specific and corporate. An application users group is proposed to proactively assist the network manager by providing advance information on application activities with potential impact on network traffic patterns and to share common costs, such as a network help desk.

### **1. Memorandum of Understanding**

A Memorandum of Understanding (MOU) should be negotiated between HR and the network owner (EM) to document each party's responsibilities, financial obligations and services to be provided, including minimum service levels.

### **2. Support Services**

A task for contractor support services is scheduled to begin in April 1997 to provide network expertise to support telecommunications and network planning and implementation. The contractor will assist sites in establishing connectivity, conducting network testing and resolving site security (firewall) issues. Assessment, resolution and testing of issues potentially impacting successful connection to the central server will be addressed on a site-by-site basis.

## **E. Security and Disaster Recovery**

The CHRIS database will contain sensitive personnel information, subject to Privacy Act requirements, which will need to be protected. Access to this data will be controlled via the use of PeopleSoft's application security procedures. In line with Departmental Information Architecture principles, security is inherent in the existing product design as provided by PeopleSoft.

Security and Disaster Recovery will be addressed at two levels:

- C Corporate system. This includes all of the "centralized" functions of the system and will address issues including data security and telecommunications security. CHRIS data will be covered under the FETC Computer Security and Disaster Recovery Plans.
- C Site implementations. This includes all of the functions and activity at the site level. Each site will be responsible for ensuring that the site's security plan addresses issues pertinent to CHRIS. Since CHRIS data will be stored centrally at FETC, sites do not have to consider data loss and recovery. However, they should incorporate items in their Disaster Recovery and Security Plans that are specifically identified in the CHRIS Security Plan.

Individual Memorandums of Understanding may be necessary to ensure the security of personnel data at the “client” end.

## **1. Data Integrity**

Data integrity measures are intended to assure that information is accurate, reliable, and timely, and that only persons with appropriate authority have access to the data either for viewing or modifying the data. The CHRIS implementation conforms with Departmental Information Architecture principles regarding protection, access, and integrity of data.

PeopleSoft’s security measures will be utilized to the fullest to provide access to specific data only to persons with appropriate authority. Application security is based on user identification and passwords. Access to personnel information is subject to protections specified in the Privacy Act of 1974. PeopleSoft’s use of effective dates will ensure the timeliness of the data, allowing entered data to take effect precisely when intended. This application includes extensive edits, which will prevent the entry of inaccurate data into the system.

Business processes will be developed in conjunction with CHRIS implementation to assure that data are entered and updated in a reliable and timely manner.

## **2. Telecommunications Security**

The DOEBN network provides end-to-end control of data. However, the network is not considered secure for automatic pass-through at site firewalls. One proposed solution is to provide encrypting routers at all network entry points. The cost of this solution, and whether it will satisfy security requirements at all sites, must be determined before a recommendation can be made. For Phase I implementation, the CHRIS network support contractor will work with each site to resolve firewall and/or other site security issues. Interim solutions (i.e., modems) may be required at select sites until such time as acceptable firewall solutions can be identified.

## **F. Configuration Management**

Configuration management addresses the computer hardware and software infrastructure supporting the application, the information architecture, the communications network, the version (or release number) of the application software, and custom modifications to the software. Configuration management procedures must be developed to anticipate the impact and manage the coordination, testing and acceptance of changes or modifications in any of these areas. These procedures will be included in the CHRIS Systems Manual.

## **1. Customization Control Process**

Benefits of implementing a corporate system, based on commercial-off-the-shelf technology, are predicated to a large extent on minimizing customization during product implementation. To this end, efforts will be expended, working through PeopleSoft's Federal Users Network, to bring requests for changes and enhancements to PeopleSoft for implementation in a future release of the Federal products, rather than making individual customizations to Energy's software.

However, customization or modification may be required to ensure the Department's needs are met by PeopleSoft's Federal products. When required, decisions on product customization will be made by the Steering Committee. The CHRIS Steering Committee has approved a formal Customization Control Board (CCB) to review proposed changes to the software. CCB membership is comprised of the Team Leaders of each of the major CHRIS working teams, the Lead of the payroll interface group, and 2 rotating Steering Committee members. The CCB will keep the CHRIS Steering Committee apprised of all customization requests and their disposition. The Board is empowered to make determinations on those customization requests that are of low impact to the system, as well as for those that are a result of changes in regulation or legal authorities. All other matters will be referred to the full Steering Committee for consideration. However, once all members of both entities are more comfortable with making these determinations, the CCB may make more of the decisions, while the Steering Committee will only be involved in matters that reflect major changes in how DOE does business.

Change request initiation, logging, evaluation, and approval procedures will be detailed in the CHRIS Systems Manual. Estimated costs and resources required to effect changes, as well as impact on the project schedule, must be included. Accepted changes will be prioritized and incorporated into the project schedule. Customization to the production database will be made only after extensive testing in a "test bed" environment.

## **2. Testing Strategy**

The project testing strategy must include network connectivity tests, functionality tests, system performance tests and application security tests. System testing will include testing for completeness of functionality and operation of the system in its intended production environment, and will include the generation and execution of test cases, mapping to requirements, and tracking and reporting of defects. System testing procedures will also be integral in supporting customization control and corporate reengineering processes. For test purposes the production environment will be simulated where required. System test procedures will be developed describing the planned test environments and test activities and will be included in the

## **G. Training and User Support**

CHRIS end-users will attend either vendor-provided training from PeopleSoft or in-house end-user training developed specifically for DOE purposes. Project Team members, site-designated “power users” and HR/IM representatives will receive vendor training following a prescribed curricula specifically approved based on their respective roles in the project. Typical vendor courses to be attended by project team members include: PeopleSoft Introduction to Federal HRMS, PeopleTools, and Query (Crystal Reports) training.

However, to meet the needs of most end-users, the BIT recommended the development of an in-house training course. The Steering Committee empowered the team leader to select a design team and to pursue the best options for developing, offering and delivering in-house training. A Training Design Team has been chartered under the BIT to develop DOE-specific training for end-users. A longer-term training strategy will also be required as additional functionality is introduced and as access to the system is expanded to larger audiences.

Update training will also be purchased from PeopleSoft or developed by a contractor for PeopleSoft 7.0 and subsequent upgrades. End-users will attend update training as necessary. Additional training on new PeopleSoft modules will be developed for future functionalities as these new modules are implemented.

A User Support network, including assistance from local PowerUsers, networking with other system users from around the complex, and sharing of valuable lessons learned feedback, will be relied on. In addition, formal help desk capabilities for both functional and technical problems will be provided to system users. Various automated tools to support the help desk will be explored, including extended operating hours to accommodate both East and West coast users of the system. Chat rooms and user-specific bulletin boards have also been established on the CHRIS home page to assist with user support.

## **H. Documentation**

Documentation of all modifications to CHRIS as well as all project records will be stored in a master file maintained by the PACT. PeopleSoft documentation, titled “PeopleBooks,” was provided to DOE on CD-ROM, with authorization for copies for DOE internal use. The FETC at Morgantown has provided copies of the current PeopleBooks to all CHRIS sites. A master filing system, cross-referencing corporate and FETC files, will be developed and maintained by the PACT.

## **Appendix A**

### **CHRIS System Manual Outline**

# **CHRIS Systems Manual**

## **I. Network Configuration**

- A. Network Structure Description (3-tier)
  - 1. Server, Client, Web-connected PC
  - 2. DOEBN/communication protocol
- B. Server Hardware
- C. Site Hardware Requirements

## **II. Security**

- A. CHRIS Security Plan
- B. Account Requests
  - 1. Procedure for Requests
  - 2. Account Naming Convention
  - 3. Approval Process
  - 4. Notifications of Granting Access
  - 5. End-User Security Training/Awareness
  - 6. Statement Regarding Account Sharing
  - 7. Application Password Lifetime
  - 8. End-User Password Delivery
  - 9. Forgotten Passwords/Change Requests
- C. Account Terminations
  - 1. Account Termination Procedure
  - 2. Notice of Employee Terminations
  - 3. Notice of Access Revocations
- D. Backups
  - 1. Method of Backups, Full/Incremental
  - 2. Frequency of Information Backup
  - 3. Local Tape Storage
  - 4. Offsite Tape Storage
  - 5. Transportation to Offsite Storage Location
  - 6. Offsite Storage Procedures
- E. Change Control
  - 1. Procedure for Application Request Changes
  - 2. Procedure for Network Changes
  - 3. Testing Prior to Implementation
  - 4. Re-Certification After Changes

- F. Emergency Preparedness
  - 1. Emergency Preparedness Backups
  - 2. Response Requirements
  - 3. Disaster Recovery Strategy
  - 4. Disaster Recovery Team
  - 5. Disaster Declaration
  - 6. Disaster Response
- G. Auditing Logs
  - 1. Retention of Auditing Information
  - 2. Periodic Audit Information Review
  - 3. Disposal of Audit Log Information
- H. Operational Concerns
  - 1. Protection of Output
  - 2. Physical Security
- I. Functional Access to All Data

### **III. Disaster Recovery**

- A. Disaster Recovery Plan
  - 1. Stands and acceptance on Down Time for each element
  - 2. Broad MOU for each SPO on their responsibility for disaster recovery at their site
  - 3. MOU and DOEBN on their responsibility for disaster recovery
  - 4. Host site for disaster recovery plan (research New Jersey contract)

### **IV. Hotline**

- A. Handle all aspects (Communications, Functional, Printers, Client)
- B. Tracking Database (Infobase)
- C. Multiple Tier Hotline Support (Power User, Hotline, PeopleSoft)
- D. Acceptable Response Time
- E. Hours of Operation (consider time zones)
- F. Who accesses PeopleSoft and DOEBN Hotlines?
- G. Notification of System Interruption
- H. List Service for System Information (Downtime, upgrades, tips and tricks)

Provide updates from calls to appropriate teams (training, modifications, table updates)

## **V. Capacity Planning**

- A. Project system loads for the future
  - 1. Monitor concurrency usage (users)
  - 2. Monitor ORACLE statistics (tables)
  - 3. Monitor CPU usage
  - 4. Monitor Communications usage (DOEBN)

## **VI. Upgrades**

- A. Assessment of Upgrade changes
- B. Upgrade Project Plan
  - 1. Description of Functional changes
  - 2. Coordinate upgrade methodology (clients, communication, servers)
  - 3. Training
  - 4. Acceptance of Down Time
  - 5. Time Line of entire project
  - 6. Documentation of Upgrade Process

## **VII. Initial Load**

- A. Foundation Table loading documentation
- B. Data Mapping between PAYPERS/CHRIS
- C. Implementation Guide
- D. Field Site Documentation
  - 1. Test Load Results (Access and HRINL)
  - 2. Actual Load Sheets
  - 3. Miscellaneous Information Reports
- E. Backup of Access Conversion Program
- F. Customization Documentation
- G. CHRIS/PAYPERS Audit

## **VIII. Operations**

- A. (Evaluate new/existing procedures before implementing)

- B. Procedures for information flow for Foundation Table Maintenance
- C. Foundation Table Maintenance
- D. Mass Changes
- E. Back Door Changes (fixes that user cannot accomplish)

## **IX. Training**

- A. Initial Training Plan
  - 1. Instructor Guide
  - 2. Users Guide
  - 3. Updates to the Users Guide (list server)
  - 4. List of Training Attendees
  - 5. Training Database documentation and procedures (refresh, changes)
  - 6. Multimedia CD
  - 7. Training options
  - 8. Follow-up Evaluations
  - 9. Class Evaluations
- B. Overall Training Strategy (wider band of users and functionality)